

HODGE-STICKELBERGER POLYGONS FOR L -FUNCTIONS OF EXPONENTIAL SUMS OF $P(x^s)$

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ABSTRACT. Let \mathbb{F}_q be a finite field of cardinality q and characteristic p . Let $\overline{P}(x)$ be any one-variable Laurent polynomial over \mathbb{F}_q of degree (d_1, d_2) respectively and $p \nmid d_1 d_2$. For any fixed $s \geq 1$ coprime to p , we prove that the q -adic Newton polygon of the L -functions of exponential sums of $\overline{P}(x^s)$ has a tight lower bound which we call Hodge-Stickelberger polygon, depending only on the d_1, d_2, s and the residue class of $(p \bmod s)$. This Hodge-Stickelberger polygon is a certain weighted convolution of the Hodge polygon for L -function of exponential sums of $\overline{P}(x)$ and the Newton polygon for the L -function of exponential sums of x^s (which is precisely given by the classical Stickelberger theory). We have an analogous Hodge-Stickelberger lower bound for multivariable Laurent polynomials as well.

For any $\nu \in (\mathbb{Z}/s\mathbb{Z})^\times$, we show that there exists a Zariski dense open subset \mathcal{U}_ν defined over \mathbb{Q} such that for every Laurent polynomial P in $\mathcal{U}_\nu(\overline{\mathbb{Q}})$ the q -adic Newton polygon of $L(\overline{P}(x^s)/\mathbb{F}_q; T)$ converges to the Hodge-Stickelberger polygon as p approaches infinity and $p \equiv \nu \bmod s$.

As a corollary, we obtain a tight lower bound for the q -adic Newton polygon of the numerator of the zeta function of an Artin-Schreier curve given by affine equation $y^p - y = \overline{P}(x^s)$. This estimates the q -adic valuations of reciprocal roots of the zeta function of the Artin-Schreier curve.

1. INTRODUCTION

Let \mathbb{A}_{d_1, d_2} be the space of all Laurent polynomials in one variable x of degree (d_1, d_2) (in x and x^{-1} respectively) where $d_1, d_2 \geq 1$. It is a rational function with two poles at ∞ and 0 . The one-pole polynomial case (i.e., $d_2 = 0$) will also be considered along the line. For our purpose, we may assume that each Laurent polynomial is monic at x^{d_1} and hence the coefficient space \mathbb{A}_{d_1, d_2} is an irreducible affine space of dimension $d_1 + d_2$. In this paper p is a prime coprime to $d_1 d_2$. Let $E(x)$ be the Artin-Hasse exponential function, namely, $E(x) = \exp(\sum_{i=0}^{\infty} x^{p^i}/p^i)$. Let γ be a p -adic root of $\log(E(x))$ in the algebraic closure of \mathbb{Q}_p with $\text{ord}_p \gamma = 1/(p-1)$. Then $E(\gamma)$ is a primitive p -th root of unity, which we fix for the rest of the paper and denote it by ζ_p .

Let a be a positive integer and $q = p^a$. Let $\overline{P}(x)$ be a rational function on the projective line with two poles of order d_1 and d_2 respectively. Up to an isomorphism

Date: September 18th, 2007.

2000 Mathematics Subject Classification. 11, 14.

Key words and phrases. Newton polygon, Hodge polygon, Hodge-Stickelberger polygon, L -function, exponential sums, twisted exponential sums, zeta function of Artin-Schreier curves, Dwork trace formula, Monsky-Reich trace formula.

over $\overline{\mathbb{F}}_p$ we may assume the poles are at ∞ and 0 and write

$$\overline{P}(x) = \sum_{i=-d_2}^{d_1} \overline{a}_i x^i$$

where \overline{a}_i lies in \mathbb{F}_q and $\overline{P} \in \mathbb{A}_{d_1, d_2}(\mathbb{F}_q)$. For any positive integer k , let $\psi_{q^k} : \mathbb{F}_{q^k} \rightarrow \mathbb{Q}(\zeta_p)^\times$ be a nontrivial additive character of \mathbb{F}_{q^k} and we fix $\psi_{q^k}(\cdot) = \zeta_p^{\text{Tr}_{\mathbb{F}_{q^k}/\mathbb{F}_p}(\cdot)}$. The k -th exponential sum of $\overline{P}(x) \in \mathbb{F}_q[x, x^{-1}]$ is $S_k(\overline{P}) = \sum_{x \in \mathbb{F}_{q^k}^\times} \psi_{q^k}(\overline{P}(x))$. The L -function of the exponential sum of \overline{P} is defined by

$$L(\overline{P}(x); T) = \exp\left(\sum_{k=1}^{\infty} S_k(\overline{P}) \frac{T^k}{k}\right).$$

It is known that

$$L(\overline{P}(x)/\mathbb{F}_q; T) = 1 + b_1 T + \cdots + b_{d_1+d_2} T^{d_1+d_2} \in \mathbb{Z}[\zeta_p][T].$$

The most important information about the L -function is its reciprocal roots. They are Weil q -numbers, i.e., algebraic integers all Galois conjugates are of absolute value \sqrt{q} . This paper concerns their q -adic absolute value. This can be effectively studied in terms of q -adic Newton polygon of the L -function. The q -adic Newton polygon $\text{NP}_q(\overline{P}(x); \mathbb{F}_q)$ of this L -function is defined as the lower convex hull of the points $(i, \text{ord}_q(b_i))_{i \geq 0}$ on the (x, y) -plane. Results about this Newton polygon can be found in [16, 20, 21]. This polygon is independent of the choice of base field \mathbb{F}_q in $\overline{\mathbb{F}}_p$ (even though the reciprocal roots of the L -function do depend on \mathbb{F}_q). The relation between q -adic valuation of roots of a polynomial and its q -adic Newton polygon is explained in details in [11, Chapter IV].

We fix once and for all a positive integer $s \geq 1$. All primes p we consider will be assumed prime to s . The main subject of study of this paper is $L(\overline{P}(x^s)/\mathbb{F}_q; T)$ and its reciprocal roots. Let σ be the permutation on the set $\{0, \dots, s-1\}$ induced by multiplication of p modulo s . We write its cycle decomposition $\sigma = \prod_{i=1}^u \sigma_i$ for ℓ_i -cycles σ_i (including 1-cycles). Let

$$\lambda_i := \frac{\sum_{j \in \sigma_i} j}{s \ell_i}.$$

So $0 \leq \lambda_i < 1$. Note that ℓ_i and λ_i are invariants depending only on s, ν (defined as the least residue of p modulo s) and the cycle σ_i , but independent of p . See Section 3.1 for more details. Note that for $s|(q-1)$ one recovers the classical formula $\lambda_i = \frac{s_p((q-1)r/s)}{a(p-1)}$, where $s_p(n)$ denotes the sum of p -adic expansions of the integer n .

We now define $\text{HS}(\mathbb{A}_{d_1, d_2}, \nu, s)$, the *Hodge-Stickelberger* polygon of $L(\overline{P}(x^s)/\mathbb{F}_q; T)$, as the polygon with line segments of slopes and lengths

$$(1) \quad \left(\frac{m+1-\lambda_i}{d_1}, \ell_i\right)_{1 \leq i \leq u, 0 \leq m \leq d_1-1}; \quad \left(\frac{m+\lambda_i}{d_2}, \ell_i\right)_{1 \leq i \leq u, 0 \leq m \leq d_2-1}.$$

Note that this polygon contains segments $(0, 1)$ and $(1, 1)$, and it is symmetric in the sense that for every slope α there is a slope $1 - \alpha$ of equal length (note that if σ_i is the cycle containing $r > 0$, σ_j the one containing $s - r$, then $\lambda_i + \lambda_j = 1$). This polygon depends only on d_1, d_2, ν, s and is of total horizontal length $s(d_1 + d_2)$.

If $d_2 = 0$ then the Hodge-Stickelberger polygon is given by the first half of the line segments in (1) minus the segment $(1, 1)$.

Remark 1.1. Consider the Gauss sum over \mathbb{F}_q defined by

$$G_{\mathbb{F}_q}(\psi_q, \chi_s^r) := - \sum_{x \in \mathbb{F}_q^\times} \psi_q(x) \chi_s^{-r}(x)$$

(where χ_s is a multiplicative character of order s on \mathbb{F}_q^\times). The Stickelberger's theorem (see [3, Theorem 11.2.1] or [18]) says that $\text{ord}_q(G_{\mathbb{F}_q}(\psi_q, \chi_s^i)) = \lambda_i$. In fact, one can show that $L(x^s; \mathbb{F}_p) = \prod_i (1 - T^{\ell_i} G_{\mathbb{F}_{p^{\ell_i}}}(\psi_{p^{\ell_i}}, \chi_s^i))$ where i ranges over all distinct cycles in σ (see [10] or [17]). Thus the exact shape of the p -adic Newton polygon of $L(x^s; \mathbb{F}_p)$ consists of line segments $(\lambda_i, \ell_i)_{2 \leq i \leq u}$ (by omitting the 1-cycle $\sigma_1 = (0)$).

By the remark above, our Hodge-Stickelberger polygon can be considered as a weighted convolution of the Hodge polygon $\text{HP}(\mathbb{A}_{d_1, d_2})$ of the L -function $L(\overline{P}/\mathbb{F}_q; T)$ (see [12] for details) and the Newton polygon of $L(x^s/\mathbb{F}_q; T)$. The following theorem states that it gives a lower bound of the q -adic Newton polygon of L -function. We use \succ to denote one polygon lies over the next one and their endpoints meet.

Theorem 1.2. *For any Laurent polynomial $\overline{P} \in \mathbb{A}_{d_1, d_2}(\mathbb{F}_q)$, we have*

$$\text{NP}_q(\overline{P}(x^s); \mathbb{F}_q) \succ \text{HS}(\mathbb{A}_{d_1, d_2}, \nu, s).$$

These two polygons coincide if and only if $p \equiv 1 \pmod{\text{lcm}(sd_1, sd_2)}$.

If \overline{P} has only one pole of order $d_1 \geq 1$ (and $d_2 = 0$), then the above two polygons coincide if and only if $p \equiv 1 \pmod{sd_1}$ or $d_1 = 1$.

In fact, we have an analogous result for multivariable Laurent polynomial which is stated in Section 6.

Remark 1.3. From [22] we know that $\text{NP}_q(\overline{P}(x^s); \mathbb{F}_q) \succ \text{HP}(\mathbb{A}_{sd_1, sd_2})$, the latter is the concatenation of the following slopes

$$0, 1, \frac{1}{sd_1}, \dots, \frac{sd_1 - 1}{sd_1}, \frac{1}{sd_2}, \dots, \frac{sd_2 - 1}{sd_2}$$

in nondecreasing order each of horizontal length 1. Hence it is of total horizontal length $s(d_1 + d_2)$. We easily see the following relation

$$\text{NP}_q(\overline{P}(x^s); \mathbb{F}_q) \succ \text{HS}(\mathbb{A}_{d_1, d_2}, \nu, s) \succ \text{HP}(\mathbb{A}_{sd_1, sd_2}).$$

Furthermore, $\text{HS}(\mathbb{A}_{d_1, d_2}, \nu, s) = \text{HP}(\mathbb{A}_{sd_1, sd_2})$ if and only if $\nu = 1$, that is $p \equiv 1 \pmod{s}$.

Then we examine, as p varies, the asymptotic behavior of the polygons $\text{NP}(P(x^s) \bmod \mathcal{P})$ where \mathcal{P} is a prime over p . Note that this polygon is independent of the choice of \mathcal{P} and so for ease of notation we may consider \mathbb{F}_q the residue field of \mathcal{P} . It is known (see [12], [21]) that when p approaches infinity, there is a Zariski dense open subset \mathcal{U} defined over \mathbb{Q} of the space of rational functions with prescribed poles and polar degrees such that for any rational function lying in $\mathcal{U}(\mathbb{Q})$, the Newton polygon $\text{NP}(P(x) \bmod \mathcal{P})$ tends to the associated Hodge polygon $\text{HP}(\mathbb{A}_{d_1, d_2})$. For $s > 2$ such limit does not exist since there is one distinct Hodge-Stickelberger polygon for each residue class of prime p in $(\mathbb{Z}/s\mathbb{Z})^\times$ and for $p \equiv 1 \pmod{\text{lcm}(sd_1, sd_2)}$ the Newton polygon coincides with the Hodge-Stickelberger polygon. See more discussion

on this topic in Section 6. In our main result we show that in each fixed residue class of primes, the situation is similar to the case $s = 1$.

Theorem 1.4. *For every integer $1 \leq \nu \leq s - 1$ coprime to s , there exists a Zariski dense open subset \mathcal{U}_ν in \mathbb{A}_{d_1, d_2} defined over \mathbb{Q} where $d_1 \geq 1$ and $d_2 \geq 0$, such that for any $P(x)$ lying in $\mathcal{U}_\nu(\overline{\mathbb{Q}})$, we have*

$$\lim_{p \rightarrow \infty, p \equiv \nu \pmod{s}} \text{NP}(P(x^s) \bmod \mathcal{P}) = \text{HS}(\mathbb{A}_{d_1, d_2}, \nu, s)$$

for all primes \mathcal{P} over p .

These theorems about exponential sums have applications to the Zeta function of Artin-Schreier curves over \mathbb{F}_q , namely the projective curves C defined by affine equation $y^p - y = \overline{P}(x)$ over \mathbb{F}_q . It is well known that all reciprocal roots of the numerator of the Zeta function of C are eigenvalues of Frobenius endomorphism, and they are Weil q -numbers. The following corollary estimates the q -adic absolute values of these reciprocal roots. We explore it via the q -adic Newton polygon $\text{NP}_q(C/\mathbb{F}_q)$, defined as the q -adic Newton polygon of the numerator of the Zeta function of C . In this paper a constant c multiple of a polygon means that we amplify or shrink each slope length by a factor of c horizontally and vertically.

Corollary 1.5. (i) *Let $\text{NP}(C_s/\mathbb{F}_q)$ be the q -adic Newton polygon of the Artin-Schreier curve $C_s : y^p - y = \overline{P}(x^s)$ over \mathbb{F}_q . Then $\frac{1}{p-1}\text{NP}(C_s/\mathbb{F}_q) \succ \text{HS}(\mathbb{A}_{d_1, d_2}, \nu, s)$. These two polygons coincide if and only if $p \equiv 1 \pmod{\text{lcm}(sd_1, sd_2)}$. If \overline{P} has only one pole of degree $d_1 \geq 1$ (and $d_2 = 0$) then the two polygons coincide if and only if $p \equiv 1 \pmod{sd_1}$ or $d_1 = 1$.*

(ii) *For every integer $1 \leq \nu \leq s - 1$ coprime to s , there exists a Zariski dense open subset \mathcal{U}_ν in \mathbb{A}_{d_1, d_2} , defined over \mathbb{Q} , such that for any $P(x)$ lying in $\mathcal{U}_\nu(\overline{\mathbb{Q}})$, we have*

$$\lim_{p \rightarrow \infty, p \equiv \nu \pmod{s}} \frac{1}{p-1} \text{NP}(C_s \bmod \mathcal{P}) = \text{HS}(\mathbb{A}_{d_1, d_2}, \nu, s)$$

for any prime \mathcal{P} over p .

Proof. Results in Theorems 1.2 and 1.4 can be translated directly to this corollary by using the same argument as that in [22, Corollary 1.3]. \square

Remark 1.6. We remark that in the above corollary, one may replace the affine coefficient space \mathbb{A}_{d_1, d_2} by the moduli space \mathcal{AS}_g of Artin-Schreier curves of genus $g := \frac{(p-1)(d_1+d_2)}{2}$ as defined in [14].

We conclude this section by providing general notation and outline for the rest of this paper. Throughout the entire paper, we fix integers $d_1, d_2, s \geq 1$. We consider prime numbers p that are always coprime to s . We always assume the residue field of the prime ideal \mathcal{P} is \mathbb{F}_q , where q is a p -power and we write $q = p^a$. The permutation σ is induced on the set $\{0, \dots, s-1\}$ by multiplication of p modulo s . We always write its cycle decomposition as $\sigma = \prod_{i=1}^u \sigma_i$ including 1-cycles. Finally, we denote by $E(x)$ be the p -adic Artin-Hasse exponential function. Our main theorems 1.2 and 1.4 are proved at the end of Section 5. Similar result on twisted exponential sums is given in Propositions 3.7 and 4.2 of Sections 3 and 4 respectively. At the end of the paper in section 6 we discuss some open questions and give statement of multivariable cases analog of Theorem 1.2.

2. TWO LEMMAS ABOUT NUCLEAR MATRICES

To make the proofs of our results as smooth as possible, we summarize some fringe results here. These results will be employed in Sections 3 and 4. The reader may wish to skip this section at first reading.

Let K be any complete non-Archimedean field with p -adic valuation $|\cdot|_p$. We refer the readers to [15] for basic facts about Serre's theory of completely continuous maps and Fredholm determinants. For any K -Banach spaces V and V' that admit orthonormal basis, denote by $\mathcal{C}(V, V')$ the set of completely continuous K -linear maps from V to V' . We say that a matrix M over K is *nuclear* if there exists a K Banach space V and a u in $\mathcal{C}(V, V)$ such that M is the matrix of u with respect to some orthonormal basis of V . If $M = (m_{ij})_{i,j \geq 1}$ is a matrix over K , then M is nuclear if and only if $\lim_{i \rightarrow \infty} \inf_{j \geq 1} \text{ord}_p m_{ij} = +\infty$.

Lemma 2.1. *Let $\vec{M} = (M_0, M_1, \dots, M_{a-1})$ be an a -tuple of nuclear matrices over \mathbb{C}_p . Set the block matrix*

$$\vec{M}_{[a]} := \begin{pmatrix} 0 & & \cdots & 0 & M_{a-1} \\ M_0 & 0 & & & 0 \\ 0 & M_1 & 0 & & \vdots \\ \vdots & & \ddots & 0 & \\ 0 & \cdots & 0 & M_{a-2} & 0 \end{pmatrix}.$$

Then $\det(1 - (M_{a-1} \cdots M_1 M_0)T^a) = \det(1 - \vec{M}_{[a]}T)$.

Proof. See [12, Section 5]. □

Lemma 2.2. *Let $\{M_t\}_{t=0, \dots, a-1}$ be any nuclear matrices over K . Let \mathcal{A}_t be the set of all $k \times k$ submatrices in M_t . Fix an integer $k \geq 1$ and let c_k be the coefficient of T^k in $\det(1 - M_{a-1}M_{a-2} \cdots M_0T)$. Then we have $\text{ord}_p c_k \geq \sum_{t=0}^{a-1} \inf_{W_t \in \mathcal{A}_t} \text{ord}_p(\det W_t)$.*

Proof. By Lemma 2.1, c_k is the coefficient of T^{ak} in the T -adic expansion of $\det(1 - \vec{M}_{[a]}T)$, which is the infinite sum of $(-1)^{ak} \det N$ where N runs over all principal $ak \times ak$ submatrices in $\vec{M}_{[a]}$. Let N be such a matrix, and let N_t be the intersection of N and M_t as submatrices of $\vec{M}_{[a]}$ for all $0 \leq t \leq a-1$. It is easy to see that $\det N = (-1)^{(ak-1)k} \prod_{t=0}^{a-1} \det N_t$ or 0 depending on whether every N_t is a $k \times k$ submatrix of M_t or not. So for p -adic evaluation purpose, we may assume every N_t is a $k \times k$ matrix. Think of N_t as a submatrix of M_t from now on and $N_t \in \mathcal{A}_t$. Our assertion follows immediately. □

3. L -FUNCTIONS OF TWISTED EXPONENTIAL SUMS

In this section we assume $s|(q-1)$. Let $k \geq 1$. Let χ_s be a multiplicative character of order s defined on \mathbb{F}_q^\times . We fix it as $\chi_s = \chi \circ N_{\mathbb{F}_{q^k}/\mathbb{F}_q}(\cdot)$ where χ is a multiplicative character of order s on \mathbb{F}_q^\times .

Fix an integer $0 \leq r \leq s-1$, let σ_i be the cycle of σ containing r , and $\lambda := \lambda_i = \sum_{j \in \sigma_i} j/(s\ell_i)$. For any Laurent polynomial $\overline{P}(x)$ in $\mathbb{A}_{d_1, d_2}(\mathbb{F}_q)$, define the L -function

$$(2) \quad L(\overline{P}(x)/\mathbb{F}_q, \chi_s^r; T) := \exp\left(\sum_{k=1}^{\infty} S_k(\overline{P}, \chi_s^r) \frac{T^k}{k}\right).$$

where $S_k(\overline{P}, \chi_s^r) = \sum_{x \in \mathbb{F}_{q^k}^\times} \psi_{q^k}(\overline{P}(x)) \chi_s^r(x)$.

From Weil's theorem, this L -function is a polynomial of degree $d_1 + d_2$ and its reciprocal roots in \mathbb{C} are algebraic integers with Archimedean absolute value $q^{1/2}$ and ℓ -adic absolute value 1 for any prime $\ell \neq p$. We shall study the q -adic absolute value of these reciprocal roots. We denote by $\text{NP}_q(\overline{P}, \chi_s^r; \mathbb{F}_q)$ the Newton polygon of $L(\overline{P}/\mathbb{F}_q, \chi_s^r; T)$ defined analogously as that for $\text{NP}_q(\overline{P}; \mathbb{F}_q)$.

3.1. Twisted Hodge-Stickelberger polygons. Denote by $\text{HS}(\mathbb{A}_{d_1, d_2}, \nu, \chi_s^r)$ the *twisted Hodge-Stickelberger polygon* of multiplicative character χ_s^r with slopes and lengths

$$\left\{ \left(\frac{m+1-\lambda}{d_1}, 1 \right)_{0 \leq m \leq d_1-1}; \quad \left(\frac{m+\lambda}{d_2}, 1 \right)_{0 \leq m \leq d_2-1} \right\}$$

It is of total horizontal length $d_1 + d_2$. This polygon can be found in the literature, for example, see [1, Theorem 3.20] and [2, Corollary 3.18]. In the polynomial case, i.e., $d_2 = 0$, the twisted Hodge-Stickelberger polygon consists of the first half of the above line segments minus the segment $(0, 1)$ and is of horizontal length $d_1 - 1$.

Remark 3.1. The twisted Hodge-Stickelberger polygon $\text{HS}(\mathbb{A}_{d_1, d_2}, \nu, \chi_s^r)$ we give above coincides with the Hodge polygon defined in [2, Corollary 3.18] in one-variable case. We shall verify this explicitly below. Set $\mathbf{d} := -(q-1)r/s$ in notation of [2]. Then $\mathbf{d}^{(v)} = -(q-1)\sigma^v(r)/s$, and for any $-d_2 + 1 \leq j \leq d_1$, we have

$$u_{\mathbf{d}^{(v)}}(j) = x^{\frac{\mathbf{d}^{(v)}}{q-1} + j}, \text{ and } w(u_{\mathbf{d}^{(v)}}(j)) = \begin{cases} \frac{\frac{\mathbf{d}^{(v)}}{q-1} + j}{d_1} = \frac{j}{d_1} - \frac{\sigma^v(r)}{sd_1} & \text{if } j > 0, \\ \frac{\frac{\mathbf{d}^{(v)}}{q-1} + j}{d_2} = -\frac{j}{d_2} + \frac{\sigma^v(r)}{sd_2} & \text{if } j \leq 0. \end{cases}$$

These are due to the fact that the weight of x^r is r/d_1 when $r \geq 0$ and $-r/d_2$ when $r \leq 0$ in our case. The Hodge polygon slopes b_j defined in [2, above Theorem 3.17] can be expressed as

$$b_j = \begin{cases} \frac{1}{a} \sum_{v=0}^{a-1} \left(\frac{j}{d_1} - \frac{\sigma^{v-a}(r)}{sd_1} \right) = \frac{j-\lambda}{d_1} & \text{if } j > 0, \\ \frac{1}{a} \sum_{v=0}^{a-1} \left(-\frac{j}{d_2} + \frac{\sigma^{v-a}(r)}{sd_2} \right) = \frac{-j+\lambda}{d_2} & \text{if } j \leq 0 \end{cases}$$

These yield exactly the slopes of our twisted Hodge-Stickelberger polygon $\text{HS}(\mathbb{A}_{d_1, d_2}, \nu, \chi_s^r)$ defined above.

We use \boxplus to denote the concatenation of line segments which are given via pairs of slopes and horizontal length so that the slopes are in non-decreasing order. Now we have the splitting of the Hodge-Stickelberger polygon into twisted Hodge-Stickelberger polygons below in the lemma.

Lemma 3.2. (i) *We have*

$$\text{HS}(\mathbb{A}_{d_1, d_2}, \nu, s) = \boxplus_i \ell_i \text{HS}(\mathbb{A}_{d_1, d_2}, \nu, \chi_s^{r_i})$$

where the box-sum ranges in the distinct cycles σ_i of σ , and for each i r_i is a representative in σ_i .

(ii) *If $\nu = 1$ then $\text{HS}(\mathbb{A}_{d_1, d_2}, 1, s) = \text{HP}(\mathbb{A}_{sd_1, sd_2})$.*

Proof. The first statement is clear by the definition of $\text{HS}(\mathbb{A}_{d_1, d_2}, \nu, s)$ in (1). For the second statement, one only needs to recognize that for $p \equiv 1 \pmod s$ we have $\ell_i = \ell'_i = 1$ for every i and $\lambda_i = r/s$ for every $0 \leq r \leq s-1$ in σ_i . The rest is explicit and elementary calculation. \square

3.2. Trace formula for twisted exponential sums. Let \mathbb{Q}_q denote the unique unramified extension of \mathbb{Q}_p of degree a and \mathbb{Z}_q its ring of integers. Let $\Omega_1 := \mathbb{Q}_p(\zeta_p)$ and let Ω_a the unique unramified extension of Ω_1 of degree a in \mathbb{C}_p . Recall that $\gamma \in \Omega_1$ such that $\mathbb{Z}_p[\gamma] = \mathbb{Z}_p[\zeta_p]$. Fix roots γ^{1/d_1} and γ^{1/d_2} in \mathbb{C}_p , we denote by $\Omega'_1 = \Omega_1(\gamma^{1/d_1}, \gamma^{1/d_2})$ and $\Omega'_a = \Omega'_1 \Omega_a$. Below we denote by K (K' respectively) a complete non-Archimedean field containing Ω_a (Ω'_a respectively).

By taking Teichmüller lifts of coefficients of $\bar{P} \in \mathbb{F}_q[x, x^{-1}]$, we get $\hat{P}(x) = \sum_{i=-d_2}^{d_1} \hat{a}_i x^i \in \mathbb{Z}_q[x, x^{-1}]$. Note that $\hat{a}_i^q = \hat{a}_i$ and $\hat{a}_i \equiv \bar{a}_i \pmod{\mathcal{P}}$ where \mathcal{P} is the prime ideal in Ω_a lying over p . For any $0 < \rho < 1$ in $|K|_p$ let $\mathcal{H}_\rho(K)$ be the ring of rigid analytic functions over K on the annulus with $\rho \leq |x|_p \leq 1/\rho$. It is a p -adic Banach space with the natural p -adic supremum norm.

Let the operator U_q on \mathcal{H}_ρ be defined by $(U_q \xi)(X) := \frac{1}{q} \sum_{Z^q=X} \xi(Z)$ for any $\xi \in \mathcal{H}_\rho$. If $\xi(X) = \sum_{i=-\infty}^{\infty} c_i X^i$ then $U_q(\xi) = \sum_{i=-\infty}^{\infty} c_{iq} X^i$. Let τ be a lifting of the Frobenius of $\bar{\mathbb{F}}_p$ to K such that $\tau(\gamma) = \gamma$. Define three elements in $\mathcal{H}_\rho(K)$ below

$$(3) \quad F(X) = \prod_{i=-d_2}^{d_1} E(\gamma \hat{a}_i X^i),$$

$$(4) \quad F_{[a]}(X) = \prod_{t=0}^{a-1} F^{\tau^t}(X^{p^t}),$$

$$(5) \quad H(X) = X^{\frac{(q-1)r}{s}} F_{[a]}(X).$$

These above are all power series in $\mathbb{Z}_p[\gamma][\hat{a}_i][[X]]$ and hence in $\mathbb{Z}_q[\zeta_p][[X]]$. Let $\alpha := U_q \circ H(X)$ by which we mean the composition map of U_q with the multiplication map by $H(X)$. Then α is a completely continuous K -linear endomorphism of $\mathcal{H}_\rho(K)$ for some suitable $0 < \rho < 1$.

Lemma 3.3. *We have*

$$(6) \quad L(\bar{P}/\mathbb{F}_q, \chi_s^r; T) = \frac{\det(1 - T\alpha)}{\det(1 - Tq\alpha)}$$

and it is a polynomial in $\mathbb{Z}[\zeta_p, \zeta_s][T]$ of degree $d_1 + d_2$.

Proof. The rationality is a routine consequence of the Dwork-Monsky-Reich trace formula so we omit its proof here. The assertion of its degree follows from [5] (or [2]). \square

3.3. p -adic estimate of twisted exponential sums. Let $0 \leq r \leq s-1$. Write the p -adic expansion

$$(7) \quad (q-1)r/s = \sum_{t=0}^{a-1} K_t p^t$$

for $0 \leq K_t \leq p-1$. Then we have

$$(8) \quad \lambda = \frac{\sum_{t=0}^{a-1} K_t}{a(p-1)} = \frac{s_p((q-1)r/s)}{a(p-1)}$$

where $s_p(\cdot)$ denotes the sum of p -adic expansions.

Let $F_t(X) = X^{K_t} F^{\tau^t}(X)$ and

$$\alpha_t := U_p \circ F_t(X).$$

Lemma 3.4. *The maps α_t are completely continuous K -linear endomorphisms of $\mathcal{H}_\rho(K)$ for some suitable $0 < \rho < 1$. We have*

$$(9) \quad \alpha = \alpha_{a-1} \circ \cdots \circ \alpha_1 \circ \alpha_0.$$

Proof. The first statement is Dwork theory. Using $f(x) \circ U_p = U_p \circ f(x^p)$, we have by (7)

$$\begin{aligned} \alpha_{a-1} \circ \cdots \circ \alpha_0 &= (U_p \circ \cdots \circ U_p) \circ (X^{\sum_{t=0}^{a-1} K_t p^t} F_{[a]}(X)) \\ &= U_q \circ H(X) = \alpha. \end{aligned}$$

This finishes the proof. \square

For any $i \in \mathbb{Z}$, consider the p -adic Mittag-Leffler decomposition $F(X)X^i = \sum_{m=-\infty}^{\infty} H^{m,i} X^m$. Write $\alpha_t(X^i) = \sum_{m=-\infty}^{\infty} B_t^{m,i} X^m$, we have $B_t^{m,i} = \tau^t H^{mp-K_t,i}$. We know $H^{m,i}, B_t^{m,i}$ lie in $\mathbb{Z}_p[\gamma][\vec{a}_i]$. Then from the p -adic valuation of the coefficients of E (see [7]) we have

$$\text{ord}_p B_t^{m,i} \geq \frac{1}{p-1} \max \left(\frac{pm - K_t - i}{d_1}, -\frac{pm - K_t - i}{d_2} \right)$$

By p -adic Mittag-Leffler decomposition, every element in the K -linear space $\mathcal{H}_\rho(K)$ can be uniquely represented as $\sum_{i=-\infty}^{\infty} c_i X^i$ for $c_i \in K$, and so $\mathcal{H}_\rho(K)$ has a natural monomial basis $\vec{b}_{\text{unw}} = \{1, X, X^2, \dots; X^{-1}, X^{-2}, \dots\}$. Let $Z_1 = \gamma^{1/d_1} X$ and $Z_2 = \gamma^{1/d_2} X^{-1}$, then $\vec{b} = \{Z_1, Z_1^2, \dots; 1, Z_2, Z_2^2, \dots\}$ forms a basis for $\mathcal{H}_\rho(K')$. Let M_t be the matrix of α_t with respect to the basis \vec{b} . Its entries lie in $\mathbb{Z}_q[\gamma^{1/d_1}, \gamma^{1/d_2}]$. From now on, we shall consider the coefficients liftings \hat{a}_i of $P(x)$ as variables throughout this section, and set $\vec{\hat{a}} = (\hat{a}_i)$, then the entries of M_t lie in $\mathbb{Z}_p[\gamma^{1/d_1}, \gamma^{1/d_2}][\vec{\hat{a}}]$. Note that $\text{ord}_p(\cdot)$ and $\text{ord}_q(\cdot)$ also denote the natural p -adic valuations on the multi-variable polynomial ring $\mathbb{Z}_p[\gamma^{1/d_1}, \gamma^{1/d_2}][\vec{\hat{a}}]$ induced from that on \mathbb{Z}_p .

We are ready to give estimates for the p -adic valuations of the coefficients of M_t . Note that we omit the subscript t in the coefficients since no confusion can occur.

Lemma 3.5. *For all $i \geq 0$ we have $\alpha_t Z_J^i = \sum_{m=1}^{\infty} C_{1,J}^{m,i} Z_1^m + \sum_{m=0}^{\infty} C_{2,J}^{m,i} Z_2^m$ where $C_{\star}^{m,i}$ are the entries of M_t . The lower bounds of $\text{ord}_p C_{\star}^{m,i}$ are*

$\text{ord}_p(\cdot) \geq$	$Z_1^i \ (i > 0)$	$Z_2^i \ (i \geq 0)$
$Z_1^m \ (m > 0)$	$\frac{m}{d_1} - \frac{K_t}{d_1(p-1)}$	$\frac{m}{d_1} - \frac{K_t}{d_1(p-1)} + \frac{i}{p-1} \left(\frac{1}{d_1} + \frac{1}{d_2} \right)$
$Z_2^m \ (m \geq 0)$	$\frac{m}{d_2} + \frac{K_t}{d_2(p-1)} + \frac{i}{p-1} \left(\frac{1}{d_1} + \frac{1}{d_2} \right)$	$\frac{m}{d_2} + \frac{K_t}{d_2(p-1)}$

Proof. See [22] page 1542–1543 for details. \square

For any $0 \leq t \leq a-1$, let \mathcal{L}_t be the set of rational numbers $\mathcal{L}_t := \{\frac{m}{d_1} - \frac{K_t}{d_1(p-1)} | m \geq 1\} \cup \{\frac{m}{d_2} + \frac{K_t}{d_2(p-1)} | m \geq 0\}$. For every $k \geq 1$ let $\delta_t^{(k)}$ the sum of k least numbers in \mathcal{L}_t . Split these k numbers in terms of $j = 1$ or 2 we have $k_1 + k_2 = k$ such that

$$\delta_t^{(k)} = \sum_{m=1}^{k_1} \left(\frac{m}{d_1} - \frac{K_t}{d_1(p-1)} \right) + \sum_{m=0}^{k_2-1} \left(\frac{m}{d_2} + \frac{K_t}{d_2(p-1)} \right).$$

By (8) we have (note that k_1 and k_2 do not depend on t)

$$\begin{aligned} \frac{1}{a} \sum_{t=0}^{a-1} \delta_t^{(k)} &= \frac{k_1(k_1+1)}{2d_1} - \frac{k_1\lambda}{d_1} + \frac{k_2(k_2-1)}{2d_2} + \frac{k_2\lambda}{d_2} \\ (10) \quad &= \frac{k_1(k_1-1)}{2d_1} + \frac{k_1(1-\lambda)}{d_1} + \frac{k_2(k_2-1)}{2d_2} + \frac{k_2\lambda}{d_2}. \end{aligned}$$

Lemma 3.6. *For any $k \times k$ submatrix of M_t , W_t , we have*

$$\text{ord}_p(\det W_t) \geq \delta_t^{(k)}.$$

Proof. Follows from Lemma 3.5. \square

Proposition 3.7. *Write $\det(1 - \alpha T) = 1 + \sum_{k=1}^{\infty} C_k T^k$, then*

- (i) $\text{ord}_q C_k \geq \frac{1}{a} \sum_{t=0}^{a-1} \delta_t^{(k)}$;
- (ii) $\text{NP}_q(\overline{P}, \chi_s^r; \mathbb{F}_q) \succ \text{HS}(\mathbb{A}_{d_1, d_2}, \nu, \chi_s^r)$ for all $\overline{P} \in \mathbb{A}_{d_1, d_2}(\mathbb{F}_q)$;
- (iii) *These two polygons coincide if and only if $p \equiv 1 \pmod{\text{lcm}(sd_1, sd_2)}$ or $(d_1, d_2) = (1, 0)$.*

Proof. (i) From the decomposition of α in Lemma 3.4 we can apply the results in Lemma 2.2 to $\det(1 - \alpha T)$, and we have

$$\text{ord}_q(C_k) = \frac{1}{a} \text{ord}_p(C_k) \geq \frac{1}{a} \sum_{t=0}^{a-1} \inf_{W_t \in \mathcal{A}_t} (\text{ord}_p \det W_t).$$

The result follows from Lemma 3.6.

(ii) By the trace formula (6), we know that $\text{NP}_q(\overline{P}, \chi_s^r; \mathbb{F}_q)$ is identical to the slope < 1 part of $\text{NP}_q(1 + C_1 T + C_2 T^2 + \dots)$ (see [12]). The latter can be identified as the condition that $k_1 \leq d_1$, $k_2 \leq d_2 - 1$. Thus by part (i) the lower bound of $\text{NP}_q(\overline{P}, \chi_s^r; \mathbb{F}_q)$ is precisely $\text{HS}(\mathbb{A}_{d_1, d_2}, \nu, \chi_s^r)$ defined in Section 3.1 and by (10).

(iii) The sufficiency follows from Lemma 3.2 (ii) and Remark 1.1 for the case $(d_1, d_2) = (1, 0)$. See [22, Theorem 1.1] for proof of the converse direction. \square

Remark 3.8. The main result in Proposition 3.7(ii) is known to [2, Corollary 3.18] as we noted in Remark 3.1. We gave a different proof here in order to be used in the proof of our result in Proposition 4.2.

4. ASYMPTOTIC BEHAVIOR OF $L(\overline{P}/\mathbb{F}_q, \chi_s^r; T)$

Here again, we assume $s|(q-1)$. Recall that $\text{NP}_q(\overline{P}, \chi_s^r; \mathbb{F}_q)$ denotes the q -adic Newton polygon of the L -function $L(\overline{P}/\mathbb{F}_q, \chi_s^r; T)$ of twisted exponential sums. In this section we shall show that for p large enough in a congruence class mod s , this Newton polygon generically converges to the corresponding twisted Hodge-Stickelberger polygon. (See Proposition 4.2 for precise statement.) Below we briefly

outline our approach, which is very similar to that in [12, Sections 4,5] and hence we do not elaborate.

We fix some integer k with $1 \leq k \leq d_1 + d_2$ in the following, and we write $k = k_1 + k_2$ as in Section 3.3. Let $M_{t,1}^{[k_1]}$ (*resp.* $M_{t,2}^{[k_2]}$) denote the $k_1 \times k_1$ (*resp.* $k_2 \times k_2$) submatrix of M_t defined by

$$M_{t,1}^{[k_1]} = \left((C_{1,1}^{m,i})_{1 \leq m, i \leq k_1} \right) \quad (\text{resp. } M_{t,2}^{[k_2]} = \left((C_{2,2}^{m,i})_{0 \leq m, i \leq k_2-1} \right)).$$

In this paper we should sometimes consider the coefficients a_i of $P(x)$ as variables and denote them by the vector \vec{a} . The *weight* of a monomial $\prod_{i=-d_2}^{d_1} a_i^{n_i}$ in $K[\vec{a}]$ is equal to $\sum_{i=-d_2}^{d_1} |i|n_i$. A relevant example in this section is that the minimal weight monomials in $H^{m,i}$ (defined under Lemma 3.4) are of weight $|m-i|$; and hence the minimal weight monomials in $B_t^{m,i}$ are of weight $|mp - K_t - i|$. All minimal weight monomials in (the formal expansion of) $\det M_t(\vec{a})$ lie in $\gamma^{\mathbb{Q}}\mathbb{Q}[\vec{a}]$. As shown in [12, Proposition 3.8], one can find a monomial in $\det M_{t,1}^{[k_1]}$ (*resp.* $\det M_{t,2}^{[k_2]}$) of minimal weight that does not cancel out with others terms. Moreover, the p -adic order $s_{1,t}$ (*resp.* $s_{2,t}$) of the coefficient of this monomial is minimal among the p -adic orders of all monomials in $\det M_{t,1}^{[k_1]}$ (*resp.* $\det M_{t,2}^{[k_2]}$). This monomial corresponds to a permutation $\rho_{1,t}$ (*resp.* $\rho_{2,t}$) in the permutation group S_{k_1} (*resp.* S_{k_2}). For $J = 1, 2$, let $r_{J,i,j}$ be the least nonnegative residue of $-(pi - j) \bmod d_J$. Then we have

$$\begin{aligned} s_{1,t} &= \frac{k_1(k_1+1)}{2d_1} - \frac{k_1 K_t}{d_1(p-1)} + \frac{1}{d_1(p-1)} \sum_{i=1}^{k_1} r_{1,i,\rho_{1,t}(i)+K_t}; \\ s_{2,t} &= \frac{k_2(k_2-1)}{2d_2} + \frac{k_2 K_t}{d_2(p-1)} + \frac{1}{d_2(p-1)} \sum_{i=0}^{k_2-1} r_{2,i,\rho_{2,t}(i)-K_t}. \end{aligned}$$

For each fixed k let

$$(11) \quad s_k := \frac{1}{a} \sum_{t=0}^{a-1} (s_{1,t} + s_{2,t}) = \frac{k_1(k_1-1)}{2d_1} + \frac{k_2(k_2-1)}{2d_2} + \epsilon_{k,p}$$

where

$$\epsilon_{k,p} := \frac{1}{a(p-1)d_1} \sum_{t=0}^{a-1} \sum_{i=1}^{k_1} r_{1,i,\rho_{1,t}(i)+K_t} + \frac{1}{a(p-1)d_2} \sum_{t=0}^{a-1} \sum_{i=1}^{k_2} r_{2,i,\rho_{2,t}(i)-K_t}.$$

Let $M_t^{[k]}$ be the $k \times k$ submatrix of M_t defined by the block matrix

$$M_t^{[k]} = \left(\begin{array}{c|c} (C_{1,1}^{m,i})_{1 \leq m, i \leq k_1} & \begin{array}{l} (C_{1,2}^{m,i})_{1 \leq m \leq k_1, 0 \leq i \leq k_2-1} \\ (C_{2,1}^{m,i})_{0 \leq m \leq k_2-1, 1 \leq i \leq k_1} \end{array} \\ \hline (C_{2,1}^{m,i})_{0 \leq m \leq k_2-1, 1 \leq i \leq k_1} & (C_{2,2}^{m,i})_{0 \leq m, i \leq k_2-1} \end{array} \right).$$

Then the terms of minimal valuation in the expansion of $\det M_t^{[k]}$ come from the product $\det M_{t,1}^{[k_1]} \cdot \det M_{t,2}^{[k_2]}$; they have p -adic order equal to $s_{1,t} + s_{2,t}$. The product of the terms of minimal p -adic order in each of the $\det M_t^{[k]}$ gives precisely the lowest γ -power term in $\prod_{t=0}^{a-1} \det M_t^{[k]}$. This term can be written as a product $\gamma^{a(p-1)s_k} U G_{\nu,r}$ for some p -adic unit U and some $G_{\nu,r} \in \mathbb{Q}[\vec{a}]$ which becomes

independent of p when p is large enough. Note that $G_{\nu,r}$ is nonconstant since it contains a unique monomial corresponding to the permutation ρ_t in S_k by composing $\rho_{1,t} \in S_{k_1}$ and $\rho_{2,t} \in S_{k_2}$ in the obvious way. Let $\mathcal{U}_{\nu,r}$ be the subspace of \mathbb{A}_{d_1,d_2} defined by $G_{\nu,r} \neq 0$. Hence $\mathcal{U}_{\nu,r}$ over \mathbb{Q} is open dense in \mathbb{A}_{d_1,d_2} .

Lemma 4.1. *Write $\det(1 - \alpha T) = \sum_{j=0}^{\infty} C_j T^j$. Fix $1 \leq k \leq d_1 + d_2$. For p large enough, we have*

$$(12) \quad C_k \equiv \prod_{t=0}^{a-1} \det M_t^{[k]} \pmod{\gamma^{>a(p-1)s_k}};$$

furthermore (with p still large enough), we have

$$(13) \quad \text{ord}_q(C_k) = \frac{1}{a} \sum_{t=0}^{a-1} \text{ord}_p \det M_t^{[k]} = s_k$$

if and only if $\overline{P}(x) \in \mathcal{U}_{\nu,r}(\mathbb{F}_q)$.

Proof. It is clear that the $k \times k$ submatrix of M_t whose determinant has the smallest p -adic valuation shares the rows of $M_t^{[k]}$. Let N be any $ak \times ak$ principal submatrix in $\vec{M}_{[a]}$. Let N_t be the intersection of N and M_t as submatrix of $\vec{M}_{[a]}$ for all $0 \leq t \leq a-1$. We may well assume that N_t is $k \times k$ matrix as in the proof of Lemma 2.2. Now suppose for some t we have $N_t \neq M_t^{[k]}$ share the rows of $M_t^{[k]}$. Observe that row indices of N_t are equal to the column indices of N_{t+1} because N is principal. Note that in fact we consider the subindices modulo a . Since N_t has at least one column outside of the columns of $M_t^{[k]}$, we have that N_{t-1} has at least one row outside of the rows of $M_{t-1}^{[k]}$. Recall that the difference between minimal row valuations in M_t is $\geq 1/d_1$ (resp. $\geq 1/d_2$) as p is large enough, depending on the location of the row in the matrix blocks. In comparison, the difference between minimal column valuations in M_t is convergent to 0 as p approaches ∞ . As $p \rightarrow \infty$, we have by the same argument as that in [12, Sections 4,5]. $\text{ord}_p(\det N) > as_k$. As C_k is the infinite sum of $\pm \det N$ as N ranges over all such $ak \times ak$ principal submatrices in $\vec{M}_{[a]}$, the above inequality yields our first congruence relation in (12).

Note that $\text{ord}_p \det M_t^{[k]} \geq as_k$ with equality holds if and only if $\overline{P} \in \mathcal{U}_{\nu,r}(\mathbb{F}_q)$ by the paragraph above this lemma. Combined with the congruence relation in (12), our second assertion in (13) follows. \square

Let $\text{GNP}(\mathbb{A}_{d_1,d_2}, \chi_s^r; \overline{\mathbb{F}}_p)$ be the generic Newton polygon of twisted exponential sums over $\overline{\mathbb{F}}_p$, namely,

$$(14) \quad \text{GNP}(\mathbb{A}_{d_1,d_2}, \chi_s^r; \overline{\mathbb{F}}_p) = \inf_{\overline{P}} \text{NP}_q(\overline{P}(x), \chi_s^r; \mathbb{F}_q)$$

where \overline{P} ranges over all Laurent polynomials in $\mathbb{A}_{d_1,d_2}(\mathbb{F}_q)$ for all \mathbb{F}_q in $\overline{\mathbb{F}}_p$. This minimum exists by Grothendieck specialization theorem (see [9] or [17]).

To simplify notations, we abbreviate $\lim_{p \rightarrow \infty, p \equiv \nu \pmod s}(\cdot)$ by $\lim_{\nu}(\cdot)$.

Proposition 4.2. *Let notations be as above. Fix $s \geq 1$ and $1 \leq \nu \leq s-1$ coprime to s . Let $0 \leq r \leq s-1$.*

(a) *For $p \equiv \nu \pmod s$ large enough (depending only on d_1, d_2, ν, χ_s^r) we have*

(i) *$\text{GNP}(\mathbb{A}_{d_1,d_2}, \chi_s^r; \overline{\mathbb{F}}_p)$ exists and it is given by the vertex points $(k, s_k)_{0 \leq k \leq d_1+d_2}$.*

(ii) we have

$$\mathrm{NP}(P(x) \bmod \mathcal{P}, \chi_s^r) \succ \mathrm{GNP}(\mathbb{A}_{d_1, d_2}, \chi_s^r; \overline{\mathbb{F}}_p)$$

for any prime \mathcal{P} over p in $\overline{\mathbb{Q}}$; these two polygons coincide if and only if $P \in \mathcal{U}_{\nu, r}(\overline{\mathbb{Q}})$.

(b) For every $P(x) \in \mathcal{U}_{\nu, r}(\overline{\mathbb{Q}})$ we have that

$$\lim_{\nu} \mathrm{NP}(P \bmod \mathcal{P}, \chi_s^r) = \mathrm{HS}(\mathbb{A}_{d_1, d_2}, \nu, \chi_s^r)$$

for any prime \mathcal{P} over p in $\overline{\mathbb{Q}}$.

Proof. (a) Notice that $\varepsilon_{k, p} \rightarrow 0+$ as $p \rightarrow \infty$, so for $p \rightarrow \infty$, we have

$$s_k \longrightarrow \frac{k_1(k_1 - 1)}{2d_1} + \frac{k_1(1 - \lambda)}{d_1} + \frac{k_2(k_2 - 1)}{2d_2} + \frac{k_2\lambda}{d_1}$$

from the right. Thus $\mathrm{GNP}(\mathbb{A}_{d_1, d_2}, \chi_s^r; \overline{\mathbb{F}}_p)$ is indeed given by vertices with coordinates (k, s_k) for $0 \leq k \leq d_1 + d_2$. This proves (i).

Consider the previous lemma 4.1 and suppose p large enough as given there. We have $\mathrm{ord}_q C_k(\bar{a}) \geq s_k$ and the equality holds if and only if $P \in \mathcal{U}_{\nu, r}(\overline{\mathbb{Q}})$. On the other hand, for p large enough, $\mathrm{NP}_q(\bar{P}, \chi_s^r; \mathbb{F}_q)$ coincides with the q -adic Newton polygon of $\sum_{j=0}^{d_1+d_2-1} C_j T^j = \det(1 - \alpha T) \bmod T^{d_1+d_2}$. Thus $\mathrm{NP}(P \bmod \mathcal{P}, \chi_s^r) = \mathrm{NP}_q(\bar{P}, \chi_s^r; \mathbb{F}_q) \succ \mathrm{GNP}(\mathbb{A}_{d_1, d_2}, \chi_s^r; \overline{\mathbb{F}}_p)$ and they coincide if and only if $P \in \mathcal{U}_{\nu, r}(\overline{\mathbb{Q}})$. This proves (ii).

(b) From part (a) we know that for $P \in \mathcal{U}_{\nu, r}(\overline{\mathbb{Q}})$ the Newton polygon coincides with the generic Newton polygon, but the latter converges to the Hodge-Stickelberger polygon as p approaches infinity by looking at the limit of s_k . This proves (b). \square

5. NEWTON POLYGONS FOR LAURENT POLYNOMIALS $\bar{P}(x^s)$.

We shall prove the main theorems in this section. Let χ_s be a multiplicative character of order s on $\mathbb{F}_{q^k}^\times$. Set $n := \gcd(s, q^k - 1)$. Let $\chi_n := \chi_s^{s/n}$ be a multiplicative character of $\mathbb{F}_{q^k}^\times$ of order n .

Lemma 5.1. *Then we have*

$$S_k(\bar{P}(x^s)) = \sum_{r=0}^{n-1} S_k(\bar{P}, \chi_n^r) = \sum_{r' \in \{0, \dots, s-1\}, \frac{s}{n} | r'} S_k(\bar{P}, \chi_s^{r'}).$$

Proof. By hypothesis, we may factor s as a product of two integers $s = mn$. Since $\gcd(m, q^k - 1) = 1$, the map $x \mapsto x^m$ is bijective on $\mathbb{F}_{q^k}^\times$. On the other hand, since $n | q^k - 1$, the kernel of the map $x \mapsto x^n$ is the set of n -th roots of unity, and its image is the set $(\mathbb{F}_{q^k}^\times)^n$ of n -th powers in $\mathbb{F}_{q^k}^\times$. Thus we get

$$S_k(\bar{P}(x^s)) = \sum_{x \in \mathbb{F}_{q^k}^\times} \psi_{q^k}(\bar{P}(x^s)) = \sum_{x \in (\mathbb{F}_{q^k}^\times)^n} n \psi_{q^k}(\bar{P}(x)).$$

From the orthogonality relations on multiplicative characters, we have that $\sum_{r=0}^{n-1} \chi_n(x^r) = n$ if $x \in (\mathbb{F}_{q^k}^\times)^n$ and $= 0$ otherwise. Then the above equation becomes

$$\begin{aligned} S_k(\overline{P}(x^s)) &= \sum_{x \in \mathbb{F}_{q^k}^\times} \sum_{r=0}^{n-1} \chi_n(x^r) \psi_{q^k}(\overline{P}(x)) \\ &= \sum_{r=0}^{n-1} \sum_{x \in \mathbb{F}_{q^k}^\times} \chi_n(x^r) \psi_{q^k}(\overline{P}(x)) \\ &= \sum_{r=0}^{n-1} S_k(\overline{P}, \chi_n^r). \end{aligned}$$

The last equation is straightforward. \square

Observe that if $s|(q^k - 1)$, then we have $S_k(\overline{P}(x^s)) = \sum_{r=0}^{s-1} S_k(\overline{P}, \chi_s^r)$.

Consider the permutation σ^a on $\{0, \dots, s-1\}$, namely the permutation induced by multiplication of $q = p^a$ modulo s . Its cycle decomposition (including 1-cycles) is further splitting of that of σ as $\sigma^a = \prod_{i=1}^u \sigma_i^a = \prod_{i=1}^u \prod_{j=1}^{\ell_i/\ell'_i} \sigma_{ij}$ for ℓ'_i -cycles σ_{ij} , where $\ell'_i | \ell_i$. Namely each permutation σ_i^a splits into ℓ_i/ℓ'_i many cycles of equal length ℓ'_i .

Consider $\overline{P} \in \mathbb{A}_{d_1, d_2}(\mathbb{F}_q)$ as $\overline{P}/\mathbb{F}_{q^{\ell'_i}}$ for $i = 1, \dots, u$. It is clear that $s|(q^{\ell'_i} - 1)$.

For any cycle σ_i in the decomposition of σ (including 1-cycles), define

$$(15) \quad L_i(T) := \prod_{j=1}^{\ell_i/\ell'_i} L(\overline{P}/\mathbb{F}_{q^{\ell'_i}}, \chi_s^{r_{ij}}; T^{\ell'_i})$$

where r_{ij} is an element in σ_{ij} . This is a polynomial in $\mathbb{Z}[\zeta_p, \zeta_s][T]$ of degree $\ell_i(d_1 + d_2)$.

Lemma 5.2. *We have*

$$(16) \quad L(\overline{P}(x^s); T) = \prod_{i=1}^u L_i(T).$$

Proof. Since $x \mapsto x^q$ is an automorphism of $\mathbb{F}_{q^n}^\times$ for any n and $\overline{P}(x^q) = \overline{P}(x)^q$, we have

$$\begin{aligned} S_k(\overline{P}(x), \chi_n^r) &= S_k(\overline{P}(x^q), \chi_n^r) \\ &= \sum_{x \in \mathbb{F}_{q^k}^\times} \chi_n^r(x^q) \psi_{q^k}(\overline{P}(x^q)) \\ &= \sum_{x \in \mathbb{F}_{q^k}^\times} \chi_n^r(x^q) \psi_{q^k}(\overline{P}(x)). \end{aligned}$$

This shows that $S_k(\overline{P}, \chi_n^r) = S_k(\overline{P}, \chi_n^{qr})$. Consequently the sum in Lemma 5.1 may be broken down into orbits of σ^a . Recall $\sigma^a = \prod_{i=1}^u \prod_{j=1}^{\ell_i/\ell'_i} \sigma_{ij}$. Let r_{ij} be an element in σ_{ij} . Since $\ell'_i | k$ is the same as saying $\sigma^{ak}(r_{ij}) = r_{ij}$, that is $q^k r_{ij} \equiv r_{ij} \pmod{s}$. But $s|(q^k - 1)r_{ij}$ (combined with our hypothesis $n = \gcd(s, q^k - 1)$) is equivalent to $\frac{s}{n} | r_{ij}$. Thus the sum in Lemma 5.1 can be phrased as

$$S_k(\overline{P}(x^s)) = \sum_{r_{ij}, \frac{s}{n} | r_{ij}} \ell'_i S_k(\overline{P}, \chi_s^{r_{ij}}) = \sum_{r_{ij}, \ell'_i | k} \ell'_i S_k(\overline{P}, \chi_s^{r_{ij}})$$

where r_{ij} runs in all distinct cycles σ_{ij} in σ^a . Substitute this identity to twisted L -function defined in Section 3.1, we get after some elementary computation

$$L(\overline{P}(x^s); T) = \prod_{r_{ij}} L(\overline{P}/\mathbb{F}_{q^{\ell'_i}}, \chi_s^{r_{ij}}; T^{\ell'_i})$$

where the product ranges over all distinct cycles in σ^a . Group this product in terms of cycle decomposition of σ , we finish our proof. \square

Proof of Theorem 1.2. By Proposition 3.7 (ii) we have

$$\begin{aligned} \mathrm{NP}_q(L(\overline{P}/\mathbb{F}_{q^{\ell'_i}}, \chi_s^{r_{ij}}; T^{\ell'_i})) &= \ell'_i \mathrm{NP}_{q^{\ell'_i}}(L(\overline{P}/\mathbb{F}_{q^{\ell'_i}}, \chi_s^{r_{ij}}; T)) \\ &\succ \ell'_i \mathrm{HS}(\mathbb{A}_{d_1, d_2}, \nu, \chi_s^{r_{ij}}) \\ &= \ell'_i \mathrm{HS}(\mathbb{A}_{d_1, d_2}, \nu, \chi_s^{r_i}) \end{aligned}$$

for all $1 \leq j \leq \ell_i/\ell'_i$. Thus

$$\mathrm{NP}_q(L_i(T)) \succ \frac{\ell_i}{\ell'_i} (\ell'_i \mathrm{HS}(\mathbb{A}_{d_1, d_2}, \nu, \chi_s^{r_i})) = \ell_i \mathrm{HS}(\mathbb{A}_{d_1, d_2}, \nu, \chi_s^{r_i}).$$

By the split of the L -function in Lemma 5.2 and by Lemma 3.2, we have

$$\begin{aligned} \mathrm{NP}_q(\overline{P}(x^s); \mathbb{F}_q) &= \boxplus_{i=1}^u \mathrm{NP}_q(L_i(T)) \\ &\succ \boxplus_{i=1}^u \ell_i \mathrm{HS}(\mathbb{A}_{d_1, d_2}, \nu, \chi_s^{r_i}) = \mathrm{HS}(\mathbb{A}_{d_1, d_2}, \nu, s). \end{aligned}$$

where the box-sum ranges over all cycle decomposition of $\sigma = \prod_{i=1}^u \sigma_i$. The proof for the case $\nu = 1$ is omitted here since it is done in [22]. \square

Let $\mathrm{GNP}(\mathbb{A}_{d_1, d_2}, s; \overline{\mathbb{F}}_p)$ be the generic Newton polygon for exponential sums of $\overline{P}(x^s)/\overline{\mathbb{F}}_p$. That is,

$$\mathrm{GNP}(\mathbb{A}_{d_1, d_2}, s; \overline{\mathbb{F}}_p) := \inf_{\overline{P}} \mathrm{NP}_q(\overline{P}(x^s); \mathbb{F}_q) = \inf_P \mathrm{NP}(P(x^s) \bmod \mathcal{P})$$

where \overline{P} ranges in $\mathbb{A}_{d_1, d_2}(\mathbb{F}_q)$ for any q , and where P ranges in $\mathbb{A}_{d_1, d_2}(\overline{\mathbb{Z}}_p \cap \overline{\mathbb{Q}})$ and \mathcal{P} is any prime over p in $\overline{\mathbb{Q}}$.

Recall σ is a permutation on $\{0, 1, \dots, s-1\}$ induced by multiplication by p modulo s . For every cycle σ_i in σ we have a nonconstant polynomial $G_{\nu, r}$ (see Proposition 4.2) where r is an element in σ_i . (It is independent of the choice of r in σ_i .) Let $G_\nu = \prod G_{\nu, r}$ where r runs in distinct cycles $\sigma_1, \dots, \sigma_u$ of σ , then G_ν is nonconstant polynomial in $\mathbb{Q}[\overline{a}]$ as well. Let \mathcal{U}_ν be the complement of $G_\nu = 0$ in \mathbb{A}_{d_1, d_2} . Then \mathcal{U}_ν is a Zariski dense open subset of \mathbb{A}_{d_1, d_2} defined over \mathbb{Q} . Our Theorems 1.2 and 1.4 are proved in the following stronger version. Its proof is similar to that of Theorem 1.2.

Theorem 5.3. *Let notations be as in Theorem 1.4. Then*

(a) *For $p \equiv \nu \bmod s$ large enough (depending only on d_1, d_2, ν, s), we have*

- (i) $\mathrm{GNP}(\mathbb{A}_{d_1, d_2}, s; \overline{\mathbb{F}}_p)$ *exists and* $\mathrm{NP}(P(x^s) \bmod \mathcal{P}) \succ \mathrm{GNP}(\mathbb{A}_{d_1, d_2}, s; \overline{\mathbb{F}}_p)$ *for all* $P \in \mathbb{A}_{d_1, d_2}(\overline{\mathbb{Q}})$;
- (ii) *these two polygons coincide if and only if* $P \in \mathcal{U}_\nu(\overline{\mathbb{Q}})$.

(b) *For* $P \in \mathcal{U}_\nu(\overline{\mathbb{Q}})$ *we have*

$$\lim_{\nu} \mathrm{NP}_q(P(x^s) \bmod \mathcal{P}; \mathbb{F}_q) = \mathrm{HS}(\mathbb{A}_{d_1, d_2}, \nu, s).$$

Proof. Our theorem follows immediately by applying Proposition 4.2 and the key Lemma 5.2 in the same fashion as that in the proof of Theorem 1.2. We hence omit details here. \square

Finally we remark in the polynomial case, i.e., $d_2 = 0$, similar argument can be carried out which yield similar results. In fact, one can carry out calculations in the spirit of [4] to get explicitly the generic Newton polygons, and *Hasse polynomials* that describe exactly which polynomials attain this polygon.

6. FURTHER QUESTIONS AND MULTIVARIABLE CASES

6.1. Global permutation polynomials. Wan's [17, Conjecture 1.12] was proved in 1-variable case by [20, 21] and was generalized to Laurent polynomials in [12] that there is a Zariski dense open subset \mathcal{U} in \mathbb{A}_{d_1, d_2} defined over \mathbb{Q} such that for every $f \in \mathcal{U}(\overline{\mathbb{Q}})$ we have its limit of Newton polygon approaching the Hodge polygon as $p \rightarrow \infty$. It has been fascinating researchers to know what (Laurent) polynomials f over $\overline{\mathbb{Q}}$ that would fail the asymptotic property $\lim_{p \rightarrow \infty} \text{NP}(f \bmod p) = \text{HP}(\mathbb{A}_{d_1, d_2})$. We will discuss below some known such (Laurent) polynomials. For simplicity we restrict ourselves over \mathbb{Q} instead of extension of \mathbb{Q} in $\overline{\mathbb{Q}}$, one can extend our argument to extensions of \mathbb{Q} by the references we shall provide in the context.

For any positive integer n , let $D_n(x, y)$ be the unique polynomial in $\mathbb{Z}[x, y]$ such that $D_n(u + v, uv) = u^n + v^n$. For any $c \in \mathbb{Q}$ the monic degree- n polynomial $D_n(x, c)$ in $\mathbb{Q}[x]$ is called a degree- n *Dickson polynomial* over \mathbb{Q} . If p divides c , then $D_n(x, c) = x^n$ is a monomial which is a permutation on \mathbb{F}_p if and only if $\gcd(n, p-1) = 1$; If p does not divide c , it is a permutation on \mathbb{F}_p if and only if $\gcd(n, p^2-1) = 1$ (due to [6], see [13, Chapter 7] for quick reference).

For any $l \geq 1$, let *global permutation polynomial over \mathbb{Q} of level l* be a polynomial $h(x)$ in $\mathbb{Q}[x]$ such that $x \mapsto h(x)$ is a permutation on $\mathbb{F}_p, \dots, \mathbb{F}_{p^l}$ for infinitely many primes p . It is easy to see that $D_n(x, c)$ in $\mathbb{Q}[x]$ is a global permutation polynomial of level l if and only if every prime factor Q of n satisfies $Q > l+1$ (when $c = 0$) and $Q > 2l+1$ (when $c \neq 0$). Thus for level $l = 1$ it is equivalent to $2 \nmid n$ (when $c = 0$) and $\gcd(n, 6) = 1$ (when $c \neq 0$).

It is proved by Schur that every global permutation polynomial over \mathbb{Q} is a composition of Dickson polynomials $D_n(x, c)$ over \mathbb{Q} and linear polynomials over certain extensions of \mathbb{Q} . (This is generalized to all number fields by Fried in [8].)

Our result in Theorem 1.4 implies that for any polynomial or Laurent polynomial $f(x)$ over $\overline{\mathbb{Q}}$ containing $x^s = D_s(x, 0)$ as a right composition factor for any $s > 2$, that is, $f(x) = P(x^s)$, the limit of p -adic Newton polygon does not exist as $p \rightarrow \infty$. Following Wan's argument on polynomials which is communicated to the authors, we demonstrate here that if $f(x)$ is any Laurent polynomial in $\mathbb{A}_{d_1, d_2}(\overline{\mathbb{Q}})$ containing a global permutation polynomial of degree $s > 1$ of level 3 as a right composition factor, that is $f(x) = P(D_s(x, c))$, then the limit $\lim_{p \rightarrow \infty} \text{NP}(f(x) \bmod p)$ does not exist. Without loss of generality, we assume $d_1 \geq d_2$ for the rest of this paragraph. Since s must be odd, our Dickson polynomials fixes 0 and ∞ , and finally we assume the global permutation polynomial composition factor is $D_s(x, c)$ for some $s > 1$ where s 's prime factors are all ≥ 7 (when $c = 0$) and ≥ 11 (when $c \neq 0$). Write $L(f(x); \mathbb{F}_p) = 1 + C_1T + C_2T^2 + \dots$ and $L(P(x); \mathbb{F}_p) = 1 + c_1T + \dots$. For any prime p such that $D_s(x, c)$ permutes $\mathbb{F}_p, \mathbb{F}_{p^2}, \mathbb{F}_{p^3}$, we have $S_k(f; \mathbb{F}_p) = S_k(P; \mathbb{F}_p)$

for $1 \leq k \leq 3$. By the lower bound for Newton polygon of $L(P(x); \mathbb{F}_p)$ (see [21]) we have $\text{ord}_p C_2 = \text{ord}_p c_2 \geq 1/(d_1/s) = s/d_1 \geq 7/d_1$. This implies the Newton polygon of $L(f(x); \mathbb{F}_p)$ does not have a breakpoint at $(2, 1/d_1)$; similarly, since $\text{ord}_p c_3 \geq 2s/d_1 \geq 14/d_1$ a breakpoint at $(3, 3/d_1)$ is impossible. On the other hand, we know that for infinitely many prime p (precisely those $p \equiv 1 \pmod{\text{lcm}(sd_1, sd_2)}$) $\text{NP}(f \bmod p)$ coincides with its lower bound and has break point at $(2, 1/d_1)$ if $d_1 > d_2$ and at $(3, 3/d_1)$ if $d_1 = d_2$. Thus $\lim_{p \rightarrow \infty} \text{NP}(f \bmod p)$ does not exist.

We say two (Laurent) polynomials $f(x)$ and $h(x)$ over \mathbb{Q} of degree d are *Artin-Schreier isomorphic* if the two Artin-Schreier curves given by $f(x) = h(wx + v)$ for some d -th root of unity w and $v \in \overline{\mathbb{Q}}$. For reader's convenience, we quote a corrected version of Wan's conjecture below from [19, Chapter 5].

Conjecture 6.1 (Wan). *If $f(x)$ is a polynomial in $\mathbb{Q}[x]$ which does not contain a global permutation polynomial of degree > 1 as right composition factor over \mathbb{Q} (upto Artin-Schreier isomorphism), then $\lim_{p \rightarrow \infty} \text{NP}_p(f \bmod p)$ exists and is equal to its lower bound Hodge polygon.*

6.2. A variant of Schur's theorem. Let $\psi : \mathbb{F}_p \rightarrow \mathbb{Q}(\zeta_p)^\times$ be the nontrivial additive character defined by $\psi(a) = \zeta_p^a$.

Conjecture 6.2. *Let $f(x) \in \mathbb{Q}[x]$ be of degree $d \geq 2$ and let $S(f(x) \bmod p) = \sum_{x \in \mathbb{F}_p} \psi(f(x))$ be the first exponential sum mod p . Let $\varepsilon > 0$. If $\text{ord}_p S(f(x) \bmod p) > 1/d + \varepsilon$ for infinitely many primes p , then $f(x) = P(D_s(x, c))$ (up to Artin-Schreier isomorphism) for some $P \in \mathbb{Q}[x]$ and a global permutation Dickson polynomial D_s of degree $s > 1$.*

The conjecture above can be considered as a generalization of the Schur's conjecture on global permutation polynomials since it can be phrased in the following term: “For any $f \in \mathbb{Q}[x]$ if $S(f(x) \bmod p) = 0$ (i.e., $\text{ord}_p(S(f(x) \bmod p)) = +\infty$) for infinitely many prime p then $f(x)$ is a Dickson polynomial up to Artin-Schreier isomorphism” (see [13, Chapter 7]).

Proposition 6.3. *Let notation be as above and suppose Conjecture 6.2 holds. Then the limit $\lim_{p \rightarrow \infty} \text{NP}_1(f(x) \bmod p)$ of first slope exists if and only if $f(x) \neq P(D_s(x, c))$ (up to any Artin-Schreier isomorphism) for some $P \in \mathbb{Q}[x]$ and a global permutation Dickson polynomial $D_s(x)$ of degree $s > 1$.*

Proof. It was already proved above that if $f(x)$ contains a right Dickson composition factor (of degree prime to 2 or 6 depending on whether $c = 0$ or not) then the limit does not exist. Conversely, suppose the first slope limit does not exist. Since for $p \equiv 1 \pmod{d}$ we always have $\text{NP}_1(f \bmod p) = 1/d$ (and $\text{NP}_2(f \bmod p) = 2/d$), this is equivalent to the hypothesis of Conjecture 6.2 since $\text{NP}_1(f \bmod p) = \text{ord}_p S_1(f \bmod p)$. \square

6.3. Multivariable cases. Our main result in Theorem 1.2 generalizes to multivariable cases. Let \mathbb{A} be the space of polynomials in n variables x_1, \dots, x_n parametrized by their coefficients of monomials. Let \overline{P} be a polynomial in $\mathbb{A}(\mathbb{F}_q)$. Fix $\vec{s} = (s_1, \dots, s_n)$ for integers $s_i \geq 1$. All primes p in this subsection will be coprime to $s_1 \cdots s_n$. Let $\vec{v} = p \bmod \vec{s}$, the least nonnegative residue. For each $1 \leq i \leq n$, let σ_i be the permutation on the set $\{0, 1, \dots, s_i - 1\}$ induced by

multiplication of p . We write its cycle decomposition as

$$\sigma_\iota = \prod_{i_\iota=1}^{u_\iota} \sigma_{\iota, i_\iota}$$

for ℓ_{ι, i_ι} -cycles σ_{ι, i_ι} (including 1-cycles!). For each $1 \leq \iota \leq n$ and $1 \leq i_\iota \leq u_\iota$, let

$$\lambda_{\iota, i_\iota} := \frac{\sum_{j \in \sigma_{\iota, i_\iota}} j}{s_\iota \ell_{\iota, i_\iota}}.$$

So $0 \leq \lambda_{\iota, i_\iota} < 1$. Write $\vec{\lambda}_\tau := (\lambda_{1, i_1}, \dots, \lambda_{n, i_n})$. Let $w : \mathbb{Z}^n \rightarrow \mathbb{Z}$ be the weight function with respect to a given \overline{P} as in [1] and [17]. It is easy to see that it extends to \mathbb{Q}^n .

We define the *Hodge-Stickelberger polygon* $\text{HS}(\mathbb{A}, \vec{v}, \vec{s})$ in multivariable setting as concatenation of line segments given by

$$(w(\vec{m} - w(\vec{\lambda}_\tau)), \ell_{1, i_1} \cdots \ell_{n, i_n})$$

where \vec{m} ranges over the $n!V(\overline{P})$ elements in $C(\overline{P}) \cap \mathbb{Z}^n$ as defined in [1], $1 \leq \iota \leq n$ and $1 \leq i_\iota \leq u_\iota$. One observes that this polygon has horizontal length $s_1 \cdots s_n n!V(\overline{P})$.

Theorem 6.4. *Suppose $\overline{P}(x_1, \dots, x_n)$ over \mathbb{F}_q is nondegenerate and the dimension of the polyhedrum $\Delta(\overline{P})$ is equal to n , then $L(\overline{P}(x_1^{s_1}, \dots, x_n^{s_n})/\mathbb{F}_q, T)^{(-1)^{n-1}}$ is a polynomial. Moreover its Newton polygon lies over $\text{HS}(\mathbb{A}, \vec{v}, \vec{s})$ and their endpoints meet.*

The proof of this theorem is parallel to the proof of Theorem 1.2 and will introduce lots more notations and we hence omit it here. We want to emphasize here that Theorem 6.4 does not include Theorem 1.2 as a corollary. It is slightly weaker in the one-variable special case.

Finally we remark that the asymptotic result in Theorem 1.4 seems harder to generalize. Nevertheless, from Theorem 6.4 one observes already that for each residue class $\vec{v} = p \bmod \vec{s}$ there is a distinct lower bound $\text{HS}(\mathbb{A}, \vec{v}, \vec{s})$. So one can not expect there is a limit on the generic Newton polygon as $p \rightarrow \infty$.

Acknowledgments. The authors thank Daqing Wan for invaluable communication regarding his conjecture(s) and for pointing out the reference [19] to us. We also thank Michael Zieve for providing us with an interesting account of references and history on Dickson polynomials.

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